

FORM PTO-1390  
(Rev. 3-93)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

Attorney's Docket Number: 0670-225

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 15)

09/486116

INTERNATIONAL APPLICATION NO.

PCT/JP98/03573

INTERNATIONAL FILING DATE

August 11, 1998

PRIORITY DATE CLAIMED

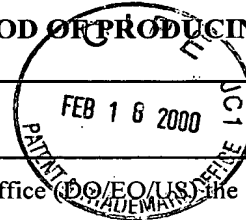
August 19, 1997

TITLE OF INVENTION

OPTICAL PICKUP APPARATUS, HOLDER AND METHOD OF PRODUCING OPTICAL PICKUP APPARATUS

APPLICANT(S) FOR DO/EO/US

Hiroshi MIYAZAWA, Hidemi TACHIZAWA



Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (a35 u.s.c. 371(c)(3)).
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

ITEMS 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 35 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:  
International Preliminary Examination Report  
International Search Report  
Copy of International Publication No. WO 99/09552

U.S. APPLICATION NO. 09/486110

INTERNATIONAL APPLICATION NO.  
PCT/JP98/03573

ATTORNEY'S DOCKET NUMBER: 0670-225

## 17. [ ] The following fees are submitted:

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ..... \$ 840.00  
 International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$ 670.00  
 No international preliminary examination fee paid to USPTO (37 CFR 1.482)  
 but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$ 760.00  
 Neither international preliminary examination fee (37 CFR 1.482) nor  
 international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$ 970.00  
 International preliminary examination fee paid to USPTO (37 CFR 1.482)  
 and all claims satisfied provisions of PCT Article 33 (2)-(4) ..... \$ 96.00

CALCULATIONS I PTO USE ONLY

ENTER APPROPRIATE BASIC FEE AMOUNT = \$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than [ ] 20 [ ] 30  
 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

Claims	Number filed	Number Extra	Rate		
Total Claims	56 - 20 =	36	X \$18.00	\$648.00	
Independent Claims	13 - 3 =	10	X \$78.00	\$780.00	
Multiple dependent claim(s) (if applicable)			+ \$260.00	\$260.00	
TOTAL OF ABOVE CALCULATIONS =				\$2,528.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed. (NOTE 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$2,528.00	
Processing fee of \$130.00 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$40.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
TOTAL FEES ENCLOSED =				\$2,568.00	
				Amount to be refunded	\$
				charged	\$

a. [X] A check in the amount of \$2,568.00 to cover the above fee is enclosed.

b. [ ] Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate of this sheet is enclosed.

c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 19-2380. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

NIXON PEABODY LLP  
 8180 Greensboro Drive, Suite 800  
 McLean, Virginia 22102

SIGNATURE

Eric J. Robinson  
 NAME

38,285  
 REGISTRATION NUMBER